

UK Carbon Code of Conduct

v0.3

## UK Carbon Code of Conduct (UKCCC)

**GREENHOUSE GAS EMISSIONS REDUCTIONS,  
REMOVALS (GGR+)  
Offset REQUIREMENTS**

**Version: 0.3**  
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## UKCCC VISION & MISSION

**OUR VISION:** Climate change and biodiversity collapse reversal through Greenhouse Gas Reduction and Removal + and sustainable development for all.

**OUR MISSION:** To ensure UK Green House Gas Reduction and Removal (GRR+) offsets are effectively measured, reported and verified in order to give surety to those wishing to offset their residual Carbon Dioxide Equivalent (CO<sub>2</sub>e) emissions.

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## 1. EFFECTIVE DATE, SCOPE AND APPLICABILITY

### 1.1 EFFECTIVE DATE

1.1.1 UKCCC is effective for all projects seeking UKCCC Approval as of 1<sup>st</sup> April 2022.

### 1.2 SCOPE

1.2.1 The UKCCC GGR+ Offset requirements set out in this document apply to all Project proponents and the Projects for which UKCCC Approval is sought. It also represents the Requirements against which the UKCCC commissioners shall monitor and verify the project.

1.2.1.1 All project proponents shall be approved by the UKCCC Commissioner and no projects can be forwarded for approval by the UKCCC by non approved bodies. All project proponents shall become members of the UKCCC and pay a joining fee of £1000.

1.2.1.2 The UKCCC is a Community Interest Company and shall act in the best interests of the code, fulfilling its Vision and Mission and protecting the 4 pillars of the code.

1.2.2 The Requirements shall be applied as per the relevant sections contained within this document and those associated or referenced.

1.2.3 From time to time, UKCCC may issue updates, changes, clarifications or corrections to the requirements. These shall be published to the [UKCCC Website](#) and notified to all current project proponents and hosts. UKCCC provides notice of all such changes and specific dates for implementation. It is the responsibility of the Project proponent to remain up to date and to apply all such updates as required for its project by checking the rule updates section on the [UKCCC Website](#), regardless of whether a notification of change has been received.

1.2.4 UKCCC Members may submit suggested updates, edits, changes or additions to UKCCC by sending an email to [help@ukcarboncode.org](mailto:help@ukcarboncode.org). Such requests shall be considered as per the Standards Setting Procedure managed by the Technical Panel. UKCCC reserves the right to accept or reject such submissions at its own discretion.

1.2.5 In some circumstances, UKCCC allows modules or elements from other, partner or endorsed Standards (for example, Woodland Carbon Code, Peatland Carbon Code, ISO 14064-2) to be considered as evidence that may be used to demonstrate conformity to certain UKCCC Requirements. In such cases, the UKCCC requirements still apply but, to help streamline processes and for practicality, shared evidence may be provided.

1.2.6 The UKCCC rules are interpreted in accordance with the standard's core principles of fairness, honesty, transparency, reliability, conservativeness and pragmatism.

1.2.7 The UKCCC has set out to be the main standard by which all UK based GGR+ projects can be approved and verified. It sets out to develop the code rapidly in line with consultation with UKCCC Members and other Interested Parties and adopt technology to improve the approval and verification process efficiency. The standard sets out to 'learn by doing' and accept that the initial version approval cycles will be made on a regular basis.

### 1.3 APPLICABILITY

- 1.3.1 All Projects shall apply the **GGR+ offset requirements** and any associated documents. All projects shall ensure the four pillars of a certified UKCCC GGR+ offset are upheld, namely, **assured additionality, assured permanence, avoidance of leakage, avoidance of negative outcomes.**
- 1.3.2 All Projects shall also apply the **Land Use Activity Requirements and relevant Measure, Reporting and Verification (MRV) protocol** related to the project type – unless stated otherwise. If no Activity Requirements exist for the proposed project type, then the Requirements shall be as per this document.
- 1.3.2 All Projects shall also apply the **Land Use Activity Requirements and relevant Measure, Reporting and Verification (MRV) protocol** related to the project type – unless stated otherwise. If no Activity Requirements exist for the proposed project type, then the Requirements shall be as per this document.
- 1.3.3 In addition to 1.3.1 and 1.3.2, Projects that seek issuance of UKCCC Approved GGR+ Offset shall also follow the applicable UKCCC Approved **MRV protocol** and related **GGR+ Product Requirements.**
- 1.3.4 All project hosts shall demonstrate that their operation is at net zero or better before a project is approved. UKCCC issued offsets must be utilised by the project host to gain net neutrality before any can be entered onto the UKCCC approved registry.

The project proponent must work with the project host to ascertain their net CO<sub>2</sub>e position as part of the project planning process. Depending on the complexity of the operation the project proponent shall either ensure that a standard carbon footprint calculator has been used and all data entered accurately or in preference that a third party carbon auditor is engaged to ensure that the result is an accurate reflection of the operations activities. The UKCCC Commissioner reserves the right to insist that a third party expert is assigned if there is doubt over the validity of the carbon calculation outcome

Project hosts can claim that their operation is at Net Zero and can sell produce from the project area as Net Zero once a project is approved. Beyond Net Zero claims can be made if the project host holds a stock of UKCCC offsets on the UKCCC approved Register commensurate with the claim being made.

## 2. APPROVAL TYPES

This section provides an overview of the types of UKCCC Approval outcomes. It should be read in conjunction with the [Claims Guidelines](#), which provides further guidance as to the application and communication around UKCCC GGR+ offset Approval.

### 2.1 UKCCC APPROVED PROJECT DESIGN

2.1.1 UKCCC Approved Project Design status is achieved by successfully undergoing project approval which means:

- (a) The project design and planning has met UKCCC standards for GGR+ offsets, including [Protection and Preservation Principles](#), [Interested parties Consultation and Engagement](#), and is set to deliver at least two UN Sustainable Development Goals (SDG) (one of which must focus on biodiversity recovery) requirements and has developed a compliant [Annual Monitoring Plan](#).

The project proponent, along with the project host, will ensure that the four pillars of UKCCC GGR+ offset verification are met, namely:

- 1. assured additionality,
  - 2. assured permanence,
  - 3. avoidance of leakage,
  - 4. avoidance of negative outcomes.
- (b) The project design, Annual Monitoring Plan and impact assessment have been validated by the UKCCC COMMISSIONER.
  - (c) It does not mean or implies that any impacts have been realised or will be realised or have been verified by a UKCCC COMMISSIONER or certified by UKCCC.
  - (d) To certify that impacts have been realised, a project shall undergo annual monitoring by the project proponent and full verification every 5 years; these shall be laid out in the [Annual Monitoring Plan](#)

## 2.2 UKCCC APPROVED PROJECT

2.2.1 UKCCC Approved Project status is achieved by successfully undergoing Verification and Annual monitoring, which means:

- (a) The project has followed an **Annual Monitoring Plan** approved at the time of Design Approval and has submitted a **Project Plan template** and **Annual Monitoring Report** for Verification.
- (b) The project and its Certified SDG Impacts have been validated and verified as required by the UKCCC COMMISSIONER.
- (c) Any Certified SDG Impacts stated to have been achieved are real.
- (d) A project may be issued Certified GGR+ offsets . This is subject to successful approval, monitoring and verification of the project's conformity to applicable **UKCCC MRV protocols** and **UKCCC GGR+ offset Requirements**.
- (e) The project is also able to promote its claims in accordance with the **UKCCC GGR+ offsets Claims Guidelines**.

2.2.2 All projects from Listed status and beyond, including UKCCC GGR+ offsets are captured on the **UKCCC approved Registry** and are publicly and transparently available to all to review.

## 2.3 STACKING. GGR+ OFFSET DISCOUNT AND BUFFER

2.3.1 The Project proponent may potentially pursue any number and combination of GGR+ project types, provided that:

- (a) All Requirements in this document and in the applicable **UKCCC approved MRV protocols** are fully met.
- (b) The **MRV protocol** and/or **GGR+ Offset Requirements** do not stipulate that the issuance of a given combination of GGR+ offsets is ineligible under UKCCC. Such details are confirmed within the specific guidelines, MRV Protocols or Product Requirements.

All necessary legal terms and conditions are fully executed and complied with.

2.3.2 Project Proponents, hosts and funders/buyers of GGR+ offsets shall adhere to the **UKCCC GGR+ Offsets Claims Guidelines** as appropriate to the status of the project. This defines and directs the use of claims made in relation to UKCCC Approval.

2.3.3 It is possible to change the project design after Design Approval to include more UKCCC Certified GGR+ Offsets as part of the project.

2.2.4 GGR+ offsets can be issued for historic soil CO2 sequestration where the project host has made a conscious move towards regenerative farming practices and has the necessary baseline data to prove additionality. This can include local data, although the UKCCC

reserves the right to apply an uncertainty discount factor as per the appropriate UKCCC methodology.

- 2.2.5 It is incumbent on the project proponent to establish the necessary discount factor to be applied to all projects. The UKCCC Commissioner reserves the right to increase the factor where it feels appropriate.
- 2.2.6 The discount factor shall be applied to all projects but the factor may vary between sectors within a project, dependant on risk. The discounted GGR+ offsets shall be held in the UKCCC approved registry in the projects hosts account and shall be released upon successful 5 year verification cycles.
- 2.2.7 In all events 2% of all approved, issued and verified GGR+ offsets are held within the UKCCC approved registry in perpetuity
- 2.2.8 The UKCCC will act to ensure that the GGR+ offsets that are issued continue to be regarded as the strongest in the market place and are eligible to be insured by a reputable provider

### 3. GENERAL ELIGIBILITY CRITERIA

3.1.1 The following General Eligibility Criteria applies to all projects seeking UKCCC Approval:

- (a) Types of Project:** Eligible projects shall include physical action/implementation on the ground. Pre-identified eligible project types are identified in the Eligibility Product requirements section.
- (b) Location of Project:** Projects may be located in any part of the UK and British Isles.
- (c) Project Area, Project Boundary and Scale:** The Project Area and Project Boundary shall be defined. Projects may be developed at any scale, although certain rules, requirements and limitations may apply under specific Activity Requirements.
 

In order to avoid double-counting, the project shall not be included in any other voluntary or compliance standards programme unless approved by UKCCC (for example, through dual approval). Also, if the Project Area overlaps with that of another UKCCC or other voluntary or standard compliance programme of a similar nature, the project proponent shall demonstrate that there is no double-counting of impacts at the project planning stage.

The UKCCC Commissioner reserves the right to ask for further project boundary detail should two or more projects share boundaries.
- (d) Host Country Requirements:** Projects shall be in compliance with the applicable Host Country's legal, environmental, ecological and social regulations. It is noted that the UK is separated into independent nations and self governing regions that hold different devolved powers.

**(e) Contact Details Details:** As part of the Project Documentation the project proponent shall provide name and (ii) contact details of

all Project Participants; AND in case of an organisation

(i) the legal registration details and

(ii) (iv) documentation by the governing jurisdiction that proves that the entity is in good standing (defined as being a legal or other appropriate entity registered in or allowed to



operate within the UK and with no evidence of insolvency or legal/criminal notices placed against it or any of its Directors).

(i)(iii) UKCCC retains the right (at its sole discretion) to refuse the use of the standard where reputational concerns are highlighted.

- (e) Legal Ownership:** Full and uncontested legal ownership of any GGR+ offsets that are generated under UKCCC Approval shall be demonstrated. UKCCC GGR+ offsets shall only be lodged on and be sold through the UKCCC approved Registry and Marketplace.

Note that for certain Project types, there is a requirement for full and uncontested legal land title/tenure to be demonstrated. These are contained within specific Activity or **GGR+ offset Requirements**. All projects shall immediately report to UKCCC any land title/tenure changes or disputes arising.

- (f) Other Rights:** As well as legal title and ownership, the Project proponent shall also demonstrate where required uncontested legal rights and/or permissions concerning changes in the use of other resources required to service the project (for example, access rights, water rights etc.). Any known disputes or contested rights must be declared immediately to UKCCC by the Project proponent and resolved before further project implementation.

## 4. ELIGIBILITY PRODUCT REQUIREMENTS

4.1.1 To achieve Approval with UKCCC, all Projects shall contribute to the Vision and Mission of UKCCC, explicitly applied through the following eligibility Product requirements.

### Principle 1: Contribution to Climate Security & Sustainable Development

- Projects shall be of a type pre-identified as eligible and shall submit to The UKCCC Commissioner to approve eligibility.
- Projects shall define their Project baseline and Project aims.
- Projects shall contribute positively to Climate change reversal & Sustainable Development. These positive impacts are considered against the **United Nations Sustainable Development Goals (SDGs)**.

4.1.2 By successfully following these requirements and procedures:

- (a) The project is demonstrated to be of an eligible type under UKCCC and has sought and obtained approval from UKCCC to proceed as a new project type.
- (b) The project demonstrates its proposed contribution to the Sustainable Development Goals, meaning **at least** an impact on SDG 13 plus two other SDGs.
- (c) The project includes the above points (a & b) in its Project Documentation, including the **Annual Monitoring & Reporting Plan**.

### ELIGIBLE PROJECT TYPES

4.1.3 A Project type is automatically eligible for UKCCC Approval if there are UKCCC approved **Land Use Activity Requirements and/or MRV protocols** associated with it, or it's referenced in these UKCCC Product Requirements. These are published to the **UKCCC website** and shall be followed where provided for a given Project type.

4.1.4 For Project types that are not automatically eligible, a Project Proponent may submit to UKCCC for approval. This shall be done, at a minimum, as part of the project planning stage, though it is recommended to engage with The UKCCC Commissioner earlier to establish the criteria and requirements for approval.

4.1.5 Project types applying for UKCCC approval are referred to the UKCCC Vision and Mission. The Project proponent shall demonstrate how the project would contribute to these and how the UKCCC Requirements would be met in their application for approval.

4.1.6 In reviewing a new Project type for approval, UKCCC may establish new Requirements to be met by the project in order to achieve Design Approval and ongoing Approved Project status. Where required, UKCCC shall engage expert peer reviewers to establish these requirements at the Project Proponent's expense.

4.1.7 UKCCC does not support Project types associated with geoengineering or energy generated from fossil fuel or nuclear, fossil fuel switch, or any project that supports enhances or prolongs such energy generation.

#### PROJECT BASELINE AND PROJECT AIMS

4.1.8 The Project shall define both the Baseline and Project Aims. These are defined as follows:

- (a) **Baseline:** The Baseline is defined as the reasonable, conservative scenario that would exist in the absence of or before the project start date.
- (b) **Project Aims:** The Project Aim is defined as the improvements that will exist once the project is implemented and operational.

4.1.9 The defined Baseline and Project Aims shall be included in the project documentation and used to inform the other Principles outlined in this section.

4.1.10 For Projects seeking GGR+ offsets, UKCCC rules allow for the consideration of several potential design scenarios in the project documentation, as long as all aspects of each potential scenario are discussed in a satisfactory way. For example, additionality shall be demonstrated for each one of the potential scenarios, and Interested party inputs must be gathered for each potential scenario. Other relevant aspects include the scale of the project, the validity/applicability of the applied MRV protocol, and the assessment of sustainable development criteria, including the Protection and Preservation Principles assessment. The UKCCC COMMISSIONER must validate all potential scenarios, and the actual scenario must be chosen before project approval is sought.

#### CONTRIBUTION TO CLIMATE SECURITY & SUSTAINABLE DEVELOPMENT

4.1.11 All Projects shall demonstrate a clear, direct and demonstrable contribution to sustainable development, defined as making positive impacts on **at least three Sustainable Development Goals (SDGs), one of which must be SDG 13 (defined herein as Emissions Reductions or Removals and/or Adaptation to climate change)**. These are referred to as **SDG Impacts**.

4.1.12 SDG Impacts shall be a primary effect – an intentional, direct effect of the project and shall not be 'one-off.'

4.1.13 The Project shall identify the potential SDG Impacts provided by the project by comparing the Project Aim to the baseline (note that multiple baseline scenarios may be relevant depending on the SDG impacts and/or methodologies followed). The SDG Impacts shall be demonstrated as making a positive effect beyond what would reasonably be expected to occur at the baseline.

4.1.14 The Project shall identify the relevant monitoring indicators and/or monitoring parameters and define the monitoring approach in the [Project Plan Document](#) to inform future **Annual Monitoring Reports**. These indicators shall ensure the four pillars of the UKCCC are upheld, additionality, permanence, avoidance of leakage, avoidance of negative outcomes.

4.1.15 To demonstrate SDG impacts, the project may choose any of the following options

- (a) **Option 1** – For identified SDG Impacts, the Project proponent shall review the SDG targets and indicators from the United Nations defined SDG Goals. The Project proponent shall select the most relevant SDG targets and indicators to the chosen SDGs or propose indicators with justification and information that, when combined, demonstrate how the project positively impacts the chosen SDGs and corresponding targets.
- (b) **Option 2** – Follow a **UKCCC Approved MRV protocol**, published or referenced via the UKCCC website. These are typically used by Project Proponents to achieve the issuance of UKCCC GGR+ Offsets.

4.1.16 For option 2, any one or more of the minimum three SDG Impacts chosen by the Project proponent may be undertaken by following a UKCCC **Approved MRV Protocol**. Project Proponents may submit a methodology for review and approval by UKCCC. Refer to the **MRV Protocol approval procedure** for details. **Note that it is possible to develop a Project and a Methodology concurrently.**

4.1.17 Projects shall seek Expert Interested party opinion and recommendation<sup>s</sup> for certain SDG Impacts. Those SDGs requiring Expert Interested party opinion are pre-identified in specific Activity Requirements, though UKCCC reserves the right to require an Expert Interested party comment or an adjustment of the SDG Impact claimed to safeguard credibility. For new project types, these shall be decided upon by UKCCC prior to or during project planning. When Expert Interested party opinion and recommendation is required, the Project proponent shall demonstrate that the Expert Interested party has confirmed that the impact is real and that any recommendations have been considered and incorporated into the project design.

## Principle 2: Protection and Preservation Principles

Projects shall conduct a Protection and Preservation Principles Assessment and conform to UKCCC **Protection and Preservation Principles and Guidelines**.

4.1.18 By successfully following these Requirements and Procedures:

- (a) The project completes a Protection and Preservation Principles Assessment as per **Protection and Preservation Principles and Guidelines** to define the relevance of the different Requirements to the project (note, further guidance is also provided in specific Activity Requirements).
- (b) The project demonstrates how all relevant Requirements are met.
- (c) The project includes the above points (a & b) in the **Project Plan Document**, including the **Annual Monitoring & Reporting Plan**.

## PROTECTION AND PRESERVATION PRINCIPLES ASSESSMENT

- 4.1.19 Referring to the UKCCC **Protection and Preservation Principles & Requirements** document –all Projects shall undertake an upfront assessment against the UKCCC Protection and Preservation Principles and implement their project in accordance with the stated requirements. The assessment shall apply to the Project Aim, although assessment questions and Requirements involve a comparison to the baseline and/or the implementation of decommissioning phases of a Project.
- 4.1.20 A number of Protection and Preservation Principles require the opinion and recommendations of an Expert Interested party. These are pre-identified in the **Protection and Preservation Principles and Guidelines** Procedure and in relevant Activity Requirements.
- 4.1.21 The Protection and Preservation Principles Assessment and evidence of conformity to the associated Requirements shall be included in the **Project Plan Document**, including the proposed monitoring parameters in the
- Annual Monitoring & Reporting Plan. The Monitoring & Reporting Plan shall capture any parameters that are required to be monitored and reported upon and/or reassessed in the future, in line with the **Protection and Preservation Principles and Guidelines**. This shall be used to inform the ongoing Monitoring Reports and annual monitoring, and five-yearly verification.
- 4.1.22 The **Annual Monitoring Report** shall include reporting on Protection and Preservation Principles and the associated monitoring parameters, as applicable.

### Principle 3: Interested party Inclusivity

- Projects shall identify and engage Relevant Interested parties and seek Expert Interested parties input where necessary in the design, planning and implementation of the project. Project design shall reflect the views and inputs of interested parties, and ongoing feedback shall be sought, captured and acted upon throughout the life of the project.
- 4.1.23 By successfully following these Requirements and Procedures:
- (a) The project demonstrates how it has identified, engaged and consulted with relevant interested parties. Where required, expert interested parties are engaged in the process.
  - (b) The project demonstrates the records of the consultation and how the outcomes of the consultation have positively influenced the project design and implementation.
  - (c) The project demonstrates that Interested party concerns have been addressed, and any disputes have been resolved.

- (d) The project demonstrates that an appropriate system for the ongoing capture, recording and responding to Interested party concerns is developed.
- (e) The project includes the above points (a to d) in the **Project Plan Document**, including the **Annual Monitoring & Reporting Plan**.

#### INTERESTED PARTY CONSULTATION & ENGAGEMENT

- 4.1.24 All Projects shall conduct Interested party Consultation and an ongoing engagement process. The Interested party Consultation shall be conducted in accordance with the requirements outlined in this section and UKCCC **Interested party Consultation & Engagement Requirements**.
- 4.1.25 The Interested party Consultation shall Ensure that all laws, byelaws and rights over the project area have been adhered to. When projects include habitat creation as part of a BNG scheme then relevant local NGOs shall be consulted
- 4.1.26 The Project proponent shall identify and inform all relevant (local, affected and interested) interested parties, including relevant local and national authorities, the UKCCC Commission and all UKCCC NGO Supporters who may be relevant or have a vested interest in the design of the project.
- 4.1.27 The Interested party Consultation shall be conducted prior to the start date of the project. If the consultation is conducted after the start date, the Project proponent shall provide further explanation of how comments received during the consultation are taken into account.
- 4.1.28 The Project proponent shall share the information on the project's objective, scale and duration, contribution to sustainable development and compliance with safeguards to ensure that interested parties are actively involved in the project from the beginning, thus enabling interested parties to influence the project design and implementation.
- 4.1.30 Expert Interested parties, where their input is required are not necessarily required to attend face-to-face consultation meetings but must be provided with sufficient information to form opinions and recommendations concerning the project. Unedited written feedback from Expert Interested party(s) and evidence as to how the feedback has been addressed and incorporated into the Project design shall be provided for approval.
- 4.1.31 Where the UKCCC COMMISSIONER deem it necessary, further queries shall be raised with the Expert Interested party, who shall be retained by the Project proponent accordingly.
- 4.1.32 The Project shall have a formal input, feedback and grievance mechanism in place, and the grievance mechanism shall be discussed during the Interested party Consultations as per **Interested party Consultation & Engagement Requirements**.
- 4.1.33 The project shall prepare the Interested party consultation report of the consultation process, including consultation feedback and how this was incorporated into the design of the project. The Interested party consultation report shall be submitted to UKCCC within three months of the event (though this date may be after the Project Start Date).

- 4.1.33 The project shall prepare the Interested party consultation report of the consultation process, including consultation feedback and how this was incorporated into the design of the project. The Interested party consultation report shall be submitted to UKCCC within three months of the event (though this date may be after the Project Start Date).
- 4.1.34 The **Annual Monitoring Report** shall include an update on Interested party feedback received during the period and any actions taken in response. It shall also review the relative successes and failures of the ongoing Interested party feedback mechanism and any proposals for improvement.

**Principle 4: Demonstration of real outcomes:**

Projects shall:

- Design and develop an upfront **Project Plan** incorporating an **Annual Monitoring & Reporting Plan**.
- Ensure the four pillars of a certified UKCCC GGR+ offsets are upheld: assured additionality, assured permanence, avoidance of leakage, and avoidance of negative outcomes. The Project Plan shall lay out management plans to ensure that these are met, and the risk of failure is mitigated.
- Undergo Design Approval with the project proponent
- Undertake monitoring in accordance with the **Annual Monitoring & Reporting Plan**.
- Undergo approval (comprising initial approval, annual monitoring and 5 year Verification) to achieve UKCCC Approved Project status and issue UKCCC GGR+ offsets were sought.

- 4.1.35 By successfully following the Procedures and applicable Requirements included the Project Cycle Section, the project demonstrates real and verified outcomes and are able to issue the relevant Certified SDG Impact Statements and/or GGR+ offsets.

**PROJECT START DATE**

- 4.1.36 The Project start date is the earliest date on which the Project proponent has committed to expenditures related to the implementation of the project, or at the point of the first baseline information as long as it is compliant with the UKCCC.
- 4.1.37 Examples of the start date may include (but not exclusive to) the date on which contracts have been signed between the project proponent and the project host, the date of the initial baseline test results being available, the day that a specialist crop or tree species has been planted.
- 4.1.38 Note that the Project start date definition and requirements may differ under certain Activity or Product Requirements.
- 4.1.39 The project start date and the Interested party consultation date determines the project as
- (a) Regular Projects, for which the Interested party Consultation has been conducted before the Project Start Date.

- (b) Retroactive Projects, for which the Interested party Consultation is conducted after the Project Start Date.

#### DEVELOPMENT OF ANNUAL MONITORING AND REPORTING PLAN

4.1.40 Projects shall produce a **Monitoring & Reporting Plan** as part of the **Project Plan Document**, that includes a detailed approach on the following:

Field Code Changed

- (a) Monitoring and reporting of parameters identified for positive SDG Impacts and associated targets.
- (b) Monitoring and reporting of parameters associated with any Requirements and reassessments highlighted by the Protection and Preservation Principles Assessment.
- (c) Monitoring and reporting of Interested party Engagement, feedback, grievances and any action taken, including as recommended by any Expert Interested party.
- (d) Any monitoring requirements and parameters in any UKCCC Approved **MRV protocol**, Tool and/or Product Requirements selected.

4.1.41 For each monitored parameter from (a) to (d) above the following information shall be provided in the Monitoring Plan:

- (a) Metric or variable that shall be monitored and reported.
- (b) Frequency of monitoring and reporting against each parameter.
- (c) Method of collection of information and identification and details of the organisation or individuals involved in the collection.
- (d) Any quality control approaches for the proposed data collection and reporting.

4.1.42 The Project Monitoring & Reporting Plan shall be presented as part of the Project Documentation for Validation and shall form the basis of ongoing Annual **Monitoring Reports that shall be presented for verification.**

#### PROGRAMMES OF ACTIVITY (PoA)

4.1.43 The UKCCC Approval cycle is suitable for multi-phased programmes with multiple interventions with an extended implementation period within a sector or multiple sectors, as is typically the case in, for example, urban low-carbon growth programmes.

4.1.44 Programmes of Activity shall follow **Programme of Activity Requirements. The Requirements in this document are applicable for a Programme where multiple individual activities are spread over space and time.**



## 5. PROJECT CYCLE

5.1.1 UKCCC Project Approval is based on a five year renewable Approval cycle, with key features as follows:

- (a) All Projects must LIST with the UKCCC by undertaking a Preliminary Review with the project proponent and uploading Key Project Information, draft **Project Design Document** and completed **Interested party Consultation Report**.
- (b) Projects may then seek UKCCC Approved status by completing the full process and being successfully approved by the UKCCC Commissioner.
- (c) New projects attaining UKCCC approved status then enter a five-year renewable Approval cycle wherein for each five-year period they must undergo a full Verification and Performance Review by the UKCCC Commissioner to achieve and maintain UKCCC Approved Project status and where sought Issuance of UKCCC Approved GGR+ offsets.
- (d) The project proponent shall undertake annual monitoring audits, where there will be an opportunity to discuss best practice and implement new management techniques that may improve the overall status of the project. This visit shall form the basis of the annual monitoring report.
- (e) To retain Approved Project status at the fifth year, all projects must undergo Design Approval Renewal by updating information and the baseline, unless otherwise stated in relevant Activity or Product requirements.
- (f) The number of Annual monitoring visits in a five-year Approval cycle is not limited although it must take place at least once, every year before the anniversary of the project start date after Project implementation or Project Approval, whichever is later.
- (g) The Activity Requirements and/or Product Requirements governs the maximum number of verification Approval Renewals allowed for specific project types. In the absence of any such stated Requirement, a Project is limited to four Renewals (i.e. maximum 25 years of approval).
- (h) Specific requirements apply in areas such as conflict and emergency zones as per Annex B of this document.

5.1.2 The following process flow shows the Project Cycle for a typical Project Approval:

#### PRELIMINARY REVIEW

- 5.1.3 The Preliminary Review (time of the first submission) is conducted once at the outset (i.e., at an early stage of project design and before Listing on the UKCCC approved Registry, see below). During the Preliminary Review, UKCCC conducts a desk review of the Key Project Information and Draft Project Design Document. This review considers whether the project can conform to the UKCCC Requirements and may therefore progress to Listed status.
- 5.1.4 The Preliminary Review includes a desk review of the Project Eligibility Principles as well as the applicability of the methodology amongst other matters, based on the Key Project Information, draft Project Plan and Interested party Consultation Report. It involves one of the routes below, dependent on the type of activity. UKCCC Commissioner shall decide which pathway a Project is required to undertake, though guidelines are provided as follows:
- (a) Route 1 – Gap Analysis Pathway - This pathway is for the regular and retroactive cycle, eligible project types unless otherwise stated in the Activity Requirements. Note that certain project types require certain details to be checked and resolved more thoroughly during the Gap Analysis Check. These are stated in the Activity Requirements. The Gap Analysis Check Pathway consists of a Preliminary Review period of 2 weeks, conducted by UKCCC.
  - (b) Route 2 – Detailed Preliminary Review – In this pathway, UKCCC conducts a more thorough check of the project documentation. The application of a Detailed Preliminary Assessment is at the discretion of UKCCC, though typically is required for early users of a new Project Type, MRV Protocol. The Detailed Preliminary Review route consists of a Preliminary Review period of 4 weeks, conducted by UKCCC.
- 5.1.5 Non-conformances may be raised during this review that must be addressed during the final approval process. However, matters pertaining to Eligibility Principles shall be addressed prior to listing.
- 5.1.6 During the Preliminary Review step, UKCCC may identify any further matters that require Expert Interested party opinion and recommendations not already pre-identified.
- 5.1.7 The Preliminary Assessment starts when the Project proponent has:

- (a) signed and submitted the Terms and Conditions AND
- (b) submitted the Project Documentation AND
- (c) Paid the fee for the Preliminary Review, where required.

5.1.8 The minimum requirements for submission of Project Documentation include Key Project Information and

- (a) A completed Interested party Consultation Report
- (b) A substantially completed Project Design Plan submission that captures:
  - i. Fully completed details required under Section – General Eligibility Criteria.
  - ii. A substantially completed Protection and Preservation Principles Assessment (meaning the majority completed, including any key matters that relate to the project type or context) including any Expert Interested party opinions and recommendations.
  - iii. Defined SDG Impacts, including any Expert Interested party opinions and recommendations sought.
  - iv. Confirmation of Approval pathway and any UKCCC Approved MRV protocols and Product Requirements.
  - v. A draft Annual Monitoring Plan.

5.1.9 The Preliminary Review is intended as a guide to the project Proponent and does not represent an Approval review or result in Approval. It does not guarantee that a Project shall be successful in Approval or ongoing Verification and Performance Review. Neither does it guarantee that further issues or alternative interpretations will arise later. The Non-Conformances are indicative only; further matters may be raised or interpreted differently by the UKCCC COMMISSIONER and/or UKCCC during the Project Cycle.

5.1.10 The outcome of the Preliminary Review may be:

- (a) a successful Review without any likely or potential non-conformances identified, OR
- (b) a successful Review with likely or potential non-conformances identified but that is not required to be resolved prior to listing, OR
- (c) An unsuccessful review with at least one potential Non-Conformance identified.

With either outcome (a) or (b), the project may progress to listing, as per the section below.

5.1.11 With a successful Preliminary Review, the project will obtain 'Listed' status in the UKCCC approved Registry. This means that:

- (a) The Key Project Information, draft **Project Design Plan** and supporting documentation are made publicly available on the UKCCC approved registry, AND
- (b) The Project proponent may promote the project according to the **Claims Guidelines as appropriate for Listed status Projects**.
- (c) The project may proceed to approval.

5.1.12 Listed status does not constitute or convey approval and does not provide any guarantee that the project will ultimately achieve approval.

#### Approval Process

5.1.13 The Approval Process may start after:

- (a) A project has achieved Listed status, AND
- (b) The Project proponent has contracted **the UKCCC COMMISSIONER**, AND
- (c) The Project proponent has submitted full Project Documentation and Supporting Documents to the UKCCC COMMISSIONER, AND
- (d) The Project proponent has notified UKCCC of the commencement of the approval process and the indicative date for completion and submission.

5.1.14 The Approval process includes a site visit by a UKCCC COMMISSIONER who assesses the up-front design and monitoring plan for a Project against applicable Requirements. This includes approval of:

- (a) The Project Documentation including the Project Plan and Annual Monitoring & Reporting Plan, including any updates to the Key Project Information after Listed Status has achieved.
- (b) Any supporting document and evidence to demonstrate conformity to all applicable UKCCC Requirements.

5.1.15 The UKCCC COMMISSIONER is appointed directly by the Project Proponent. A UKCCC COMMISSIONER shall be selected from **the list of approved UKCCC COMMISSIONER s**, eligible for the Project type and route proposed. The UKCCC COMMISSIONER appointment shall include responding to any clarifications, queries, non-conformances raised by UKCCC during Design Approval Review.

5.1.16 The Project shall complete approval (defined as the date of submission of Validation Report by the UKCCC COMMISSIONER ) within 20 working days of the successful listing of the project.

5.1.17 The Approval process ends when The UKCCC COMMISSIONER has submitted a final Approval Report with no open non-conformances, in the opinion of the UKCCC COMMISSIONER.

**(c) VERIFICATION & PERFORMANCE REVIEW (PERFORMANCE APPROVAL)**

5.1.25 Verification may start after:

The project has achieved UKCCC Approved Project status AND

- (a) The Project proponent has contracted the UKCCC COMMISSIONER, AND
- (b) The Project proponent has submitted the Annual **Monitoring Report** to the UKCCC COMMISSIONER, AND
- (c) The Project proponent has notified UKCCC of the commencement of verification.

5.1.26 Verification can include a site visit by a UKCCC COMMISSIONER who assesses the following against all UKCCC Requirements including applicable Activity Requirements, UKCCC Methodology and Product Requirements:

- (a) The Annual **Monitoring Report** (including any updates in Annual Reports)
- (b) All supporting evidence and documents included by the Project proponent to demonstrate conformity

5.1.27 The UKCCC COMMISSIONER is directly appointed by the Project Proponent. A UKCCC COMMISSIONER shall be selected from the **list of approved UKCCC COMMISSIONER s**, eligible for the project type and route proposed. The UKCCC COMMISSIONER shall be retained by the Project proponent to review and respond to queries raised during the verification process.

5.1.28 Unless otherwise stated (for example, in an applied MRV protocol or Product Requirements), the same UKCCC COMMISSIONER may undertake Validation and Verification of a given Project.

5.1.29 Verification must occur at least once during the five -year Approval cycle with the first project proponent led annual verification completed within one year of project Implementation Date or Design Approval, whichever is later. The Project implementation date is defined as the date at which physical activity first occurred; this can include baseline testing or the implementation of management changes.

5.1.30 Verification ends when the UKCCC COMMISSIONER has submitted a positive Verification Report to UKCCC. A positive Verification Report shall have no pending or open non-conformances in the opinion of the UKCCC COMMISSIONER.

5.1.31

5.1.32 The project may take into account the retroactive period for performance Approval of Certified GGR+ offsets. The maximum period for Retroactive Approval is two years prior to the date of Project Design Approval unless otherwise stated in a specific MRV protocol or Product Requirements. It can often be up to 4 years when relying on historic soil test results.

- 5.1.33 The project making changes to the registered project design (Annex A) may request Retroactive Approval for the design change component for a maximum of two years prior to the date of Design Change Approval.

**(d) ANNUAL REPORTING**

- 5.1.34 Transparent, annual monitoring reports need to be provided for Projects that have achieved the Project Design Approval stage or have successfully transitioned to UKCCC Approval. An annual monitoring report shall be submitted for each monitoring year. If verification is in progress but not completed, then an Annual Report is still required by the end of the calendar year.
- 5.1.35 Failure to provide Annual Monitoring Reports as required shall result in the delisting of the project.
- 5.1.36 The Annual Monitoring Report shall be submitted to UKCCC<sub>2</sub> which will be made publicly available on the UKCCC approved registry
- 5.1.36 The Annual Report shall focus on information since the last Annual Report or Verification Report as appropriate and provide the following information
- (a) A summary of the recent activities, events and actions related to the project,
  - (b) A clear statement on how interested parties may provide inputs/grievances,
  - (c) A list of all inputs/grievances that have been received since the last Annual Report, together with their respective answers/actions,
  - (d) Any incidents or events that may impact the Outcomes/Impacts delivered to date (in terms of loss) or the ongoing Performance of the Project,
  - ~~(e)~~—Any legal contest or dispute that has arisen,
  - ~~(f)~~~~(e)~~
  - ~~(g)~~~~(f)~~ Any updates to the Key Project Information, Project Design Document, Monitoring & Reporting Plan and any other supporting documentation,
  - ~~(h)~~~~(g)~~ A brief descriptive summary of all monitoring information collected during the year,
  - ~~(i)~~~~(h)~~ Any update of the 'Project Participants & Secured Titles' (in case of changes)
- 5.1.43 The Project proponent shall attest to the accuracy of the information provided by its signature on the Annual Monitoring Report. The signatory shall be an individual with legal signing authority within the Project proponents organisation.
- 5.1.44 Annual Reporting does not represent approval nor any decision making or agreement to any design change by UKCCC. Annual Reporting is intended as an opportunity to share progress and track key updates and confirms to UKCCC that the project remains active and

compliant with the UKCCC. With a formal review of conformity to Requirements, any changes in approach shall be undertaken during the five-year verification process.

**(e) DESIGN APPROVAL RENEWAL**

- 5.1.45 To maintain UKCCC Approved Project status beyond five years, a Project must undergo a project verification process. This process shall begin (defined by the submission of a Renewal opinion by a UKCCC COMMISSIONER for project verification to UKCCC) no later than the last date of the current Approval cycle. Note that review of the project Approval Renewal may complete after the last date of the current crediting period. In this case, the renewal date shall be the first day after the end date of the current Approval cycle.
- 5.1.46 Failure to undergo a five-year approval process will lead to the project being delisted from UKCCC approved status.
- 5.1.47 Project verification follows the same process as Project design approval though the scope of the assessment is limited to:
- (a) Changes in the project as related to the General Eligibility Criteria
  - (b) Incorporation of any relevant updates to the UKCCC Requirements
  - (c) Re-definition of Baseline Scenario and any impact of change on the Eligibility Principles, Criteria and Requirements
  - (d) Any UKCCC activity, product and methodology-specific Requirements

## 6. PROJECT DOCUMENTATION AND TECHNICAL REQUIREMENTS

6.1.1 Projects shall provide evidence of conformity to the Requirements using approved UKCCC Project templates except for supporting evidence and documents. The following project documentation and associated evidence and information are required at different stages of the project cycle.

(a) Preliminary Review

- i. Key Project Information (see Project Plan Template)
- ii. Draft Project Plan including Protection and Preservation Principles Assessment, SDG Impacts identified and draft Annual Monitoring & Reporting Plan
- iii. Interested party Consultation Report
- iv. Supporting evidence and documents such as maps, survey results or calculations
- v. Signed Cover Letter and Terms and Conditions

(b) Approval

- i. Completed Project Plan including Annual Monitoring & Reporting Plan
- ii. Fully completed Interested party Consultation Report
- iii.
- iv. Any Activity, Context, Methodology or Product Requirement specific documentation
- v. Supporting evidence and documents

(c) Annual Reporting

- i. Completed Annual Report
- ii. Supporting evidence and documents

(d) Five – year verification

- i. Any updates to the Key Project Information Project Plan and Annual Monitoring & Reporting Plan
- ii. Any Context, Activity, Methodology and Product Requirement specific documentation
- iii. Verification Report
- iv. Supporting evidence and documents such as maps, survey results and/or calculations

6.1.2 The Project proponent shall open an account on the UKCCC approved Registry

- (a) Project Documentation, Project Plan, Monitoring & Reporting Plan, Reports, supporting documentation and the UKCCC COMMISSIONER 's Approval and Verification Reports shall be submitted to the UKCCC approved Registry. Note that the UKCCC COMMISSIONER is responsible for uploading the final Approval or Verification Report.



- (b) All Project Documentation, except confidential information, shall be made publicly available through the **UKCCC approved Registry**.
- (c)
- (d) Figures above one thousand shall be formatted with a comma (for example 1,000,000), and decimals will be separated by a point (for example 1.35).
- (e) Pictures, graphs, tables and supporting documents within Project Documentation shall be clearly marked with a unique ID.
- (f) Dates shall be included in the following format: DD/MM/YYYY
- (g) Maps, where required shall include:
  - i. Name of the project
  - ii. ID of the project
  - iii. Legend
  - iv. Printing date
  - v. Scale
  - vi. Direction of North
  - vii. GPS coordinate system (e.g. WGS 84)
  - viii. GPS grid
  - ix. Infrastructure (roads, houses, etc.)
  - x. Information on the satellite or aerial picture (date, resolutions, data source)

## 7. NON-CONFORMITY

- 7.1.1 The Project proponent shall report any potential or actual Non-Conformances against the Requirements and any associated Guidelines, Tools or Methodologies immediately upon discovery. Potential or actual non-conformances may also be submitted to UKCCC by any party at any time for review.
- 7.1.2 UKCCC shall undertake a review of the Non-Conformances, including potentially commissioning an independent investigation and an expert peer review of any recommended action taken. During the investigation UKCCC reserves the right to suspend activities related to Approval and/or Registry, including the assignment, transfer or retirement of UKCCC GGR+ Offsets
- 7.1.3 UKCCC shall decide upon the action taken in response to a confirmed Non-Conformance. This may include; a requirement for immediate rectification or change, a suspension of a Project until rectification has been Verified or removal of UKCCC Approved Design status from the project. Factors that influence UKCCC's consideration of the severity of the issue shall include, but are not limited to:
- (a) If the issue is repeated/systematic, or fundamental to the project.
  - (b) If the issue has resulted in an inappropriate Approval decision or over-issuance of UKCCC Certified GGR+ Offsets.
  - (c) If the issue has continued over a longer period of time or affects a significant area.
  - (d) If the issue has caused the endangerment of life, livelihoods, ecology or the environment.
  - (e) If the Project proponent failed to notify UKCCC, take appropriate steps to limit any damage or disruption caused or has attempted to cover up the issue.

## ANNEX A – PROJECT DESIGN CHANGE APPROVAL PROCEDURE

### 1. APPLICABILITY AND SCOPE

- 1.1.1 These procedures relate to material and permanent design changes, where at least one of the following aspects of a project is affected: additionality, permanence of impact, increased risk of leakage or harm, risk of scale of the project, validity/applicability of the applied MRV protocol, Interested party consultation, and sustainable development criteria, monitoring plan change caused by material and permanent design changes.
- 1.1.2 These procedures do not apply to changes that are temporary deviations from the registered monitoring plan, applied methodologies and may be suitable for approval along with issuance review.

### 2. DESIGN CHANGES TYPES

#### 2.1 Design changes occurring before Design Approval

- 2.1.1 Any request for approval of a design change that occurs prior to full approval shall be reviewed and validated by the UKCCC COMMISSIONER . The project documentation and the Approval Report shall be revised accordingly before submission (or re-submission) for Design Review.

#### 2.2 Design changes occurring after Design Approval

- 2.2.1 The guidelines apply in the case when a design change that occurs or have occurred after the project has achieved Project Approval status, or in case the UKCCC COMMISSIONER contracted to perform the verification identifies that the project has not been implemented according to the Certified Project Plan
- 2.2.2 The procedures are also applicable if the permanent changes have occurred after the implementation of the project as per the Certified Project Plan and issuance of Impact Statements or GGR+ Credits have also taken place.

### 3. REQUEST FOR APPROVAL OF DESIGN CHANGES

- 3.1.1 Project Proponents shall submit a request for approval for material and permanent changes to a project with payment of the required design change fee.
- 3.1.2 The Project proponent shall submit the request to the UKCCC prior to making the changes or, at the very latest, prior to the request for issuance.
- 3.1.3 The following information/documents should be submitted as a part of the request for approval:
- (a) Revised Project Plan highlighting the changes in track-change mode,
  - (b) A memo highlights the design changes and discusses the impact(s) of the changes on the relevant aspects of the project.

## 4. PREPARATION OF REVISED DOCUMENTATION

- 4.1.1 Any other additional supporting documentation (for example, Environmental Impact Assessment conducted in relation to the changes in the project, etc.).
- 4.1.2 The revised documentation should include an assessment of the impact of the design changes with respect to all the aspects below (a to g). The design change memo submitted at the time of request for approval shall discuss these in a concise way.
- (a) ADDITIONALITY**
- 4.1.3 The Project proponent must discuss the effect of design changes on the validity of the demonstration of additionality and provide all required justifications.
- (b) PROJECT SCALE**
- 4.1.5 Project proponents shall discuss to what extent the design changes affect the scale of the project as per UKCCC Requirements. Suppose the upper threshold for the project scale, defined as per applicable Activity or Product requirement, is exceeded. In that case, related rules are no longer applicable to the Project and Project proponent shall revise the project documentation accordingly.
- (c) APPLICABILITY OF MRV Protocol**
- 4.1.6 The Project proponent shall discuss whether the original MRV protocol is still applicable or whether an updated MRV protocol shall be used. The same analysis shall also be conducted with respect to the selected baseline.
- 4.1.7 When a Project has not been implemented as described in the registered project documentation, the applicability and application of the baseline methodology with which the project has been registered shall be reassessed.
- (d) INTERESTED PARTY FEEDBACK ON DESIGN CHANGE**
- 4.1.8 The Project proponent shall discuss if there is a need to conduct an Interested party consultation on changes that are to occur or have occurred in the Project design.
- 4.1.9 Whenever design changes include the extension of the Project boundaries to new sites or the selection of different sites from those that had been envisioned at the time of previous Interested party Consultations, relevant interested parties from these locations shall be invited for comments as per the **Interested party Consultation and Engagement requirement**.
- 4.1.10 The Project proponent can choose to invite comments electronically or through a physical meeting and shall justify the selected method. To the extent possible, the Project proponent shall conduct the complementary Interested party consultation on the design change component prior to the start of implementation of change in the project design.

**(e) SUSTAINABLE DEVELOPMENT ASSESSMENT**

- 4.1.11 The Project proponent shall discuss any necessary revision in the SDG Impact and Protection and Preservation Principles assessment following the design changes.
- 4.1.12 Changes in the project location or the extension of the project boundaries call for a re-assessment of the SDG Impacts and Protection and Preservation Principles, as does a significant change of scale of the project, even if located on the same site. If a new Environmental Impact Assessment (EIA) is required as per the local legislation, the SDG Impact and Protection and Preservation Principles assessment shall take into account the new elements provided, including potential new mitigation and/or compensation measures to put in place.

**(f) ANNUAL MONITORING & REPORTING PLAN**

- 4.1.13 The Project proponent shall discuss whether there is a need to make any change in the registered annual monitoring plan to accommodate any changes due to local interested parties' feedback, applicability of MRV protocol , SDG Impact, Safeguarding assessments and any other applicable requirements.
- 4.1.14 The Project proponent shall revise the monitoring plan to include new mitigation measures as per a revised EIA or new comments by interested parties.

**(g) LEGISLATION**

- 4.1.15 The Project proponent shall also discuss the need for any new approvals/licenses from the environmental and/or regulatory agencies.

## 5. DESIGN CHANGE REQUEST REVIEW

- 5.1.1 Upon receipt of the request for design change approval, the UKCCC conducts a Gap Analysis to confirm whether all the necessary information and documentation has been submitted.
- 5.1.2 Upon payment of the required design change fee, a review of the design change request is conducted in order to assess whether:
- (a) An opinion on the impacts of the design changes with respect to points a to g above shall be performed by either the approval UKCCC COMMISSIONER or Verification UKCCC COMMISSIONER
- In this case, the Project proponent shall contract the Approval UKCCC COMMISSIONER or Verification UKCCC COMMISSIONER to perform a review of the design change memo and the revised project documentation submitted to UKCCC. The UKCCC COMMISSIONER shall provide an opinion on each one of the points to g discussed and validate the data/information and underlying assumptions are correct. The revised Project Documentation, the design change memo, and the UKCCC COMMISSIONER opinion shall be submitted to UKCCC for review.
- OR
- (b) UKCCC conducts the assessment of the design changes on its own.
- In this case, UKCCC conducts the review of the submitted design change memo and the project documentation document without the involvement of a UKCCC COMMISSIONER.
- The revised documentation and the design change memo, once approved, will be uploaded to the [UKCCC approved Registry](#) as an amendment of the Project Documentation.
- In all cases above, approval or rejection may occur directly after submission of the necessary documentation or after rounds of review necessary to close all requests for clarification or corrective action, if any.
- 5.1.3 In either case above, approval or rejection may occur directly after submitting the necessary documentation or after rounds of review.
- 5.1.4 Rejection of the request prevents any issuance unless the previous design is recovered or an alternative, the acceptable design change, is submitted.
- 5.1.5 Approval of the request allows the revised Project Documentation to be applicable for all future issuances. The revised Project Documentation and the design change memo are uploaded to the [UKCCC approved Registry](#) accordingly.

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